

APPENDIX A. U.S. DEPARTMENT OF ENERGY COVER PAGE FOR
SMALL BUSINESS INNOVATION RESEARCH (SBIR) AND
SMALL BUSINESS TECHNOLOGY TRANSFER (STTR) PROGRAMS

SOLICITATION NO. DOE/SC-0008	
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ONLY	

NOTICE FOR HANDLING GRANT APPLICATIONS. This submission is to be used only for DOE evaluation purposes. All government and non-Government personnel handling this submission shall exercise extreme care to ensure that the information contained herein is not duplicated, used, or disclosed in whole or in part for any purpose other than to evaluate the submission, without the written permission of the offeror (except that if a grant is awarded on the basis of this submission, the terms of the grant shall control disclosure and use). This is a Government notice, and shall not by itself be construed to impose any liability upon the Government or Government personnel for any disclosure or use of data contained in this submission.

PROJECT			
TITLE:		Topic No. (1-45):	Subtopic (a-d):
		Amount Requested (not to exceed \$100,000):	\$
SMALL BUSINESS			
FIRM NAME:	I.R.S Entity Identification or SSN:	ADDRESS:	
		CITY:	STATE: ZIP
Principal Investigator (See Requirements in Sec. 1.5) Indicate Mr., Mrs., Ms., Dr.		Corporate/Business Authorized Representatives Indicate Mr., Mrs., Ms., Dr.	
Title:	Phone Number:	Title:	Phone Number:
E:mail address:		E:mail address:	
Certification and Acceptance: I certify that the statements herein are true and complete to the best of my knowledge, and accept the obligation to comply with DOE terms and conditions if an award is made as the result of this submission. A willfully false certification is a criminal offense. (U.S. Code, Title 18, Section 1001)			
Signature:		Date:	
RESEARCH INSTITUTION			
Check YES or NO: This grant application contains substantial collaboration with a research institution (see definition Sec. 2.8). Substantial collaboration means: (1) subcontract of at least \$15,000, and (2) collaboration on research ideas or plans. ~ YES, check one box below and provide information at the right. ~ NO, this application for SBIR only. ~ This application for SBIR only. ~ This application for STTR only. ~ This application for both SBIR and STTR.		NAME OF INSTITUTION:	\$ Amount of Subcontract
		ADDRESS:	
		CITY:	STATE: ZIP
		Certifying Official: Indicate Mr., Mrs., Ms., Dr.	
		Title: Phone Number:	
		E:mail address:	
		Certification: If this grant application is selected for award, I certify that the above research institution will conduct the work herein attributed to it.	
Signature:		Date:	
OTHER SUBCONTRACTORS: INDICATE NAME AND DOLLAR AMOUNT			
CERTIFICATIONS AND QUESTIONS: ANSWER Y (YES) OR N (NO)			
~ 1. The above applicant organization certifies that it is a small business and meets the definition stated in Section 2.3. ~ 2. The applicant small business will comply with the provisions regarding: (1) lobbying, (2) debarment, suspension, and other responsibility matters, and (3) drug-free workplace requirements. (See Certifications Section.) Inability to certify to any or all statements requires explanation. ~ 3. The Principal Investigator will have his/her primary employment with the small business at the time of award (see Section 1.5.2).		~ 4. Has the firm and/or Principal Investigator submitted proposals containing a significant amount of essentially equivalent work under other federal program solicitations, or received other federal awards containing a significant amount of essentially equivalent work? If "yes", the application must include the required information requested in Section 3.3.4. ~ 5. Is the small business delinquent on any Federal debt? (If "yes," please attach an explanation.) ~ 6. If the proposed project does not result in an award, does the applicant permit the government to disclose the technical abstract of the application, and the name, address, and telephone of the business official to any inquiring parties?	

PROPRIETARY NOTICE (SECTION 5.4) For any purpose other than to evaluate this submission, these data shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed in whole or in part, provided that if a grant is awarded to this applicant as a result of or in connection with the submission of these data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the grant. This restriction does not limit the Government's right to use information contained in the data if it is obtained from another source without restriction. The data in this submission subject to this restriction are contained on pages: _____

INSTRUCTIONS FOR COMPLETING APPENDIX A

- **Project TitleC**Should reflect the substance of the project and must be limited to 120 characters and spaces. **Do not use the solicitation's topic or subtopic title.**
- **Topic NumberC**Provide the appropriate numerical designator of the technical topic (one of the 45 listed in the Technical Topics section) to which you are submitting your grant application.
- **SubtopicC**Provide the appropriate alphabetical character designating the subtopic, within the technical topic, to which you are submitting your grant application.
- **AmountC**Must not exceed \$100,000. Grant applications requesting more than \$100,000 will be **declined without further review.**
- **Firm Name and AddressC**Enter the name and address of the company or individual submitting the grant application. If a joint venture, enter the name and mailing address of the company chosen to negotiate and receive the grant. If the name exceeds the space provided, please abbreviate it.
- **I.R.S. Entity Identification or SSNC** Enter the small business taxpayer ID number or social security number of the Corporate/Business Authorized Representative.
- **Small Business SignaturesC**Signatures are required by both the Principal Investigator and the Corporate/Business Authorized Representative who is empowered to make contractual commitments on behalf of the small business. Both sections must be completed and signed even if the functions of the Principal Investigator and the Corporate/Business Official are performed by the same individual. Designate one copy of the grant application as the original and assure that original signatures appear on the cover page (Appendix A) and the budget summary (Appendix C) of that copy.
- **Research InstitutionC**Indicate whether the proposal includes substantial collaboration with a Research Institution (Sec. 2.8) by checking the appropriate box. If yes, check the appropriate box to indicate the program(s) for which you are applying. Also, provide the information requested about the Research Institution.
- **Certifications and Questions C**Enter Y for yes and N for no in response to each of the statements or questions on the cover page.
- **Proprietary Notice (bottom of cover page)C**If applicable, enter the page number(s) of the application which contain(s) proprietary information.